

15W 3753

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
PATENT TRANSMITTAL FORM.

Applicant(s): Ashe, et al.  
Serial No.: 10/522,974  
Filed: February 1, 2005  
For: REDUCED VOLUME HEAT EXCHANGERS  
Art Unit: 3753  
Examiner: Not Yet Assigned  
Confirmation No.: 2336  
Customer No.: 27623 Attorney Docket No.: 377.8168USU

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

We are enclosing:

1. Information Disclosure Statement with copies of references;
2. PTO Form 1449;
3. Transmittal letter in duplicate; and
4. Postcard.

Please charge any additional fees or credit any such fees, if necessary to Deposit Account No. 01-0467 in the name of Ohlandt, Greeley, Ruggiero & Perle. A duplicate copy of this sheet is attached.

Respectfully submitted,

Date: May 6, 2005

Paul D. Greeley, Esq.  
Reg. No.31,019  
Ohlandt, Greeley, Ruggiero & Perle, L.L.P.  
One Landmark Square, 10<sup>th</sup> Floor  
Stamford, Connecticut 06901-2682  
(203) 327-4500

**CERTIFICATE OF MAILING**

I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING DEPOSITED WITH THE U.S. POSTAL SERVICE AS FIRST CLASS MAIL IN AN ENVELOPE ADDRESSED TO: MAIL STOP AMENDMENT, COMMISSIONER FOR PATENTS, P.O. BOX 1450, ALEXANDRIA, VA 22313-1450, ON May 6, 2005.

Lynn Sherrod  
NAME

  
SIGNATURE

May 6, 2005  
DATE



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Ashe, et al.  
Serial No.: 10/522,974  
Filed: February 1, 2005  
For: / REDUCED VOLUME HEAT EXCHANGERS  
Art Unit: 3753  
Examiner: Not Yet Assigned  
Confirmation No.: 2336  
Customer No.: 27,623  
Attorney Docket No.: 377.8168USU

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

Dear Sir:

In accordance with applicant's duty of disclosure under 37 C.F.R. §1.56, please find attached hereto form PTO-1449 listing information which may be material to the patentability of this application, filed **February 1, 2005**. This Information Disclosure Statement is being filed:

- ☐ Within three (3) months of the filing date of the national application;
- ☐ Within three (3) months of the date of entry of the national stage as set forth in 37 C.F.R. §1.491 in an international application;
- ☒ Before the mailing date of a first Office Action on the merits;
- ☐ After the filing date or date of first Office Action, but before the mailing date of a final action under 37 C.F.R. §1.113, provided that this occurs prior to the issuance of a Notice of Allowance and provided that this I.D.S. is accompanied by either a certification as specified in 37 C.F.R. §1.97(e) or the fee set forth in 37 C.F.R. §1.17(p);

- \_\_\_\_\_ After the filing date or date of first Office Action, but before the mailing date of a Notice of Allowance under 37 C.F.R. §1.311, provided that this occurs prior to the final action and provided that this I.D.S. is accompanied by either a certification as specified in 37 C.F.R. §1.97(e) or the fee set forth in 37 C.F.R. §1.17(p);
- \_\_\_\_\_ After the mailing date of a final action under 37 C.F.R. §1.113, provided that this occurs prior to the issuance of a Notice of Allowance and provided that this I.D.S. is accompanied by a certification as specified in 37 C.F.R. §1.97(e) and the fee set forth in 37 C.F.R. §1.17(p); and
- \_\_\_\_\_ After the mailing date of a Notice of Allowance under 37 C.F.R. §1.311, provided that this occurs prior to or subsequent to the payment of the Issue Fee and provided that this I.D.S. is accompanied by a certification as specified in 37 C.F.R. §1.97(e) and the fee set forth in 37 C.F.R. §1.17(p).
- \_\_\_\_\_ Filing with RCE Under 37 CFR 1.114, thus no fee is required.

Also enclosed are copies of the following;

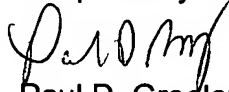
PCT Publication Nos.: WO 97/49962 and WO 2004017007; and

Foreign Publication Nos.: DE 4241179; GB 273306; GB 424063; GB 835297.

Cited in the attached PTO-1449 are U.S. Patent Nos. 3357408; 43366.14; 4343, 626. Pursuant to the waiving of the requirement of 37 CFR 1.98 (a)(2)(i), copies of these U.S. references are not enclosed.

It should be understood that attention has been called to the references that have been deemed to be pertinent to the claimed present invention. In concluding what was pertinent, the criteria employed was considered most appropriate in light of the invention shown in the present application. However, the Examiner or others may deem some other criteria to be just as appropriate or more appropriate. Therefore, the Examiner is respectfully urged to review the listed references and to make the usual careful independent search for other prior art that may be pertinent.

Respectfully submitted,



Paul D. Greeley  
Reg. No. 31,019

Ohlandt, Greeley, Ruggiero & Perle, L.L.P.  
One Landmark Square, 10th Floor  
Stamford, CT 06901-2682  
(203) 327-4500

May 6, 2005



CUSTOMER NO.: 27623

Sheet 1 of 1.

FORM PTO-1449

INFORMATION DISCLOSURE CITATION  
IN AN APPLICATION

(Use several sheets if necessary)

Docket Number (Optional)

377.8186USU

Application Number

10/522,974

Applicant

Ashe, et al.

Filing Date

February 1, 2005

Group Art Unit

3753

## U. S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	3,357,408	12/12/67	G. A. Patterson	122	6	
	4,336,614	6/22/82	Mitchell, et al.	376	405	
	4,343,626	8/10/82	Peise, et al.	48	67	

## FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						YES	NO
	DE 4241179	6/9/94	Germany			X	
	GB 273306	11/10/27	U.K.			X	
	GB 424063	2/14/35	U.K.			X	
	GB 835297	5/18/60	U.K.			X	
	WO 97/49962	2/26/04	PCT			X	
	WO 2004/017007	12/31/97	PCT			X	

## OTHER DOCUMENTS (including Author, Title, Date, Pertinent Pages, Etc.)


EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP §609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.